

MAY 20 2010

PTO/SB/96 (09-04)

Approved for use through 07/31/2006. OMB 0651-0031

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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**STATEMENT UNDER 37 CFR 3.73(b)**Applicant/Patent Owner: Millennium Pharmaceuticals, Inc.Application No./Patent No.: 7,138,117 Filed/Issue Date: November 21, 2006Entitled: ANTI-CCR4 ANTIBODIES AND METHODS OF USE THEREFORMillennium Pharmaceutical, Inc., a Delaware corporation  
(Name of Assignee) (Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

1. ☒ the assignee of the entire right, title, and interest; or
2. ☐ an assignee of less than the entire right, title and interest.  
The extent (by percentage) of its ownership interest is \_\_\_\_\_ %

In the patent application/patent identified above by virtue of either:

- A. ☒ An assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the United States Patent and Trademark Office at Reel 013107, Frame 0039, or for which a copy thereof is attached.

OR

- B. ☐ A chain of title from the inventor(s) of the patent application/patent identified above, to the current assignee as shown below:


1. From: \_\_\_\_\_ To: \_\_\_\_\_  
The document was recorded in the United States Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.
2. From: \_\_\_\_\_ To: \_\_\_\_\_  
The document was recorded in the United States Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.
3. From: \_\_\_\_\_ To: \_\_\_\_\_  
The document was recorded in the United States Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

☐ Additional documents in the chain of title are listed on a supplemental sheet.

- ☒ Copies of assignments or other documents in the chain of title are attached.

[NOTE: A separate copy (i.e., a true copy of the original assignment document(s)) must be submitted to Assignment Division in accordance with 37 CFR Part 3, if the assignment is to be recorded in the records of the USPTO. See MPEP 302.03]

The undersigned (whose title is supplied below) is authorized to act on behalf of the assignee.

  
Signature

May 20, 2010

Date

Karoline K. M. Shair

Printed or Typed Name

617-444-3227

Telephone Number

Senior Patent Counsel

Title

This collection of information is required by 37 CFR 3.73(b). The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.

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SEPTEMBER 20, 2002

PTAS

HAMILTON, BROOK, SMITH & REYNOLDS, P.C.  
LISA M. TREANNIE, ESQ.  
530 VIRGINIA ROAD, P.O. BOX 9133  
CONCORD, MA 01742-9133

Under Secretary of Commerce For Intellectual Property and  
Director of the United States Patent and Trademark Office  
Washington, DC 20231  
www.uspto.gov



\*102168440A\*

UNITED STATES PATENT AND TRADEMARK OFFICE  
NOTICE OF RECORDATION OF ASSIGNMENT DOCUMENT

THE ENCLOSED DOCUMENT HAS BEEN RECORDED BY THE ASSIGNMENT DIVISION OF THE U.S. PATENT AND TRADEMARK OFFICE. A COMPLETE MICROFILM COPY IS AVAILABLE AT THE ASSIGNMENT SEARCH ROOM ON THE REEL AND FRAME NUMBER REFERENCED BELOW.

PLEASE REVIEW ALL INFORMATION CONTAINED ON THIS NOTICE. THE INFORMATION CONTAINED ON THIS RECORDATION NOTICE REFLECTS THE DATA PRESENT IN THE PATENT AND TRADEMARK ASSIGNMENT SYSTEM. IF YOU SHOULD FIND ANY ERRORS OR HAVE QUESTIONS CONCERNING THIS NOTICE, YOU MAY CONTACT THE EMPLOYEE WHOSE NAME APPEARS ON THIS NOTICE AT 703-308-9723. PLEASE SEND REQUEST FOR CORRECTION TO: U.S. PATENT AND TRADEMARK OFFICE, ASSIGNMENT DIVISION, BOX ASSIGNMENTS, CG-4, 1213 JEFFERSON DAVIS HWY, SUITE 320, WASHINGTON, D.C. 20231.

RECORDATION DATE: 07/23/2002 /

REEL/FRAME: 013107/0039 ✓  
NUMBER OF PAGES: 10

BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).

ASSIGNOR: /  
WU, LIJUN

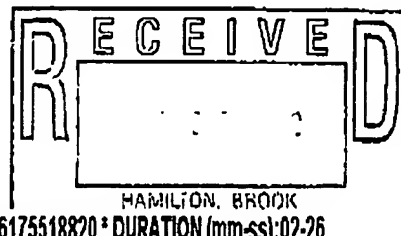
DOC DATE: 07/08/2002

ASSIGNOR:  
RUFFING-GRAHAM, NANCY ✓

DOC DATE: 07/15/2002

ASSIGNOR:  
ANDREW, DAVID P. ✓

DOC DATE: 07/14/2002

ASSIGNEE:  
MILLENNIUM PHARMACEUTICALS, INC. ✓  
75 SIDNEY STREET  
CAMBRIDGE, MASSACHUSETTS 02139SERIAL NUMBER: 10055789  
PATENT NUMBER:FILING DATE: 01/18/2002 ✓  
ISSUE DATE:

013107/0039 PAGE 2

KIMBERLY WHITE, EXAMINER  
ASSIGNMENT DIVISION  
OFFICE OF PUBLIC RECORDS

MAY 20 2010

07-25-2002

Docket No.: 1855.1063-010

:ODM,AMHODMAVMANAGE;327534;1

RECC



SHEET

102168440

To the Commissioner, United States Patent and Trademark Office: Please record the attached original documents or copy thereof.

## 1. Name of conveying party(ies)

- 1. Lijun Wu
- 2. Nancy Ruffing-Graham
- 3. David P. Andrew

7-23-02

## 2. Name and address of receiving party(ies)

Name: Millennium Pharmaceuticals, Inc.

Internal Address: \_\_\_\_\_

Additional name(s) of conveying party(ies) attached? ☐ Yes ☒ No.

## 3. Nature of conveyance:

- ☒ Assignment ☐ Merger
- ☐ Security Agreement ☐ Change of Name
- ☐ Other \_\_\_\_\_

Execution Date: 1) 7/8/02; 2) 7/15/02 and 3) 7/14/02

Street Address: 75 Sidney Street

City: Cambridge State: MA ZIP: 02139

Additional name(s) & address(es) attached? ☐ Yes ☒ No

## 4. Application number(s) or patent number(s):

If this document is being filed together with a new application, the execution date of the application is: \_\_\_\_\_

A. Patent Application No.(s)  
10/055,789

B. Patent No.(s) \_\_\_\_\_

Additional numbers attached? ☐ Yes ☒ No

## 5. Name and address of party to whom correspondence concerning document should be mailed:

Name: Lisa M. Treannic, Esq.

Internal Address: \_\_\_\_\_

Hamilton, Brook, Smith &amp; Reynolds, P.C.

Street Address: 530 Virginia Road, P.O. Box 9133

City: Concord State: MA ZIP: 01742-9133

## 6. Total number of applications and patents involved: 112

## 7. Total Fee (37 C.F.R. 3.41)..... \$ 40.00

- ☒ Enclosed
- ☒ Authorized to charge any deficiencies or credit any overpayment to deposit account
- ☐ Authorized to be charged to deposit account

## 8. Deposit account number:

08-0380

(Attach duplicate copy of this page if paying by deposit account)

DO NOT USE THIS SPACE

## 9. Statement and signature.

To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.

Lisa M. Treannic

Name of Person Signing

Lisa M. Treannic

Signature

41,368

7-19-02

Date

Total number of pages including cover sheet, attachments, and document: [10]

07/25/2002 AWMED1 00000043 10055789

01 FC:581

40.00 UP

MAY 20 2010

Docket No. 1855.1063-010JointASSIGNMENT

WHEREAS, we, Lijun Wu, Nancy Ruffing and David P. Andrew, have invented a certain improvement in **Anti-CCR4 Antibodies and Methods of Use Therefor** described in an application for Letters Patent of the United States, the specification of which:

- ☐ is being executed on even date herewith and is about to be filed in the United States Patent Office;
- ☒ was filed on January 18, 2002 as Application No. 10/055,789;
- ☐ was patented under U.S. Patent No. [ ] on [ ].

WHEREAS, Millennium Pharmaceuticals, Inc. (hereinafter "ASSIGNEE"), a corporation organized and existing under the laws of the State of Delaware, and having a usual place of business at 75 Sidney Street, Cambridge, Massachusetts 02139 desires to acquire an interest therein in accordance with agreements duly entered into with us;

NOW, THEREFORE, to all whom it may concern be it known that for and in consideration of said agreements and of other good and valuable consideration, the receipt of which is hereby acknowledged, we have sold, assigned and transferred and by these presents do hereby sell, assign and transfer unto said ASSIGNEE, its successors, assigns and legal representatives, the entire right, title and interest in and throughout the United States of America, its territories and all foreign countries, in and to said invention as described in said application, together with the entire right, title and interest in and to said application and such Letters Patent as may issue thereon; said invention, application and Letters Patent to be held and enjoyed by said ASSIGNEE for its own use and behalf and for its successors, assigns and legal representatives, to the full end of the term for which said Letters Patent may be granted as fully and entirely as the same would have been held by us had this assignment and sale not been made; we hereby convey all rights arising under or pursuant to any and all international agreements, treaties or laws relating to the protection of industrial property by filing any such applications for Letters Patent. We hereby acknowledge that this assignment, being of the entire right, title and interest in and to said invention, carries with it the right in ASSIGNEE to apply for and obtain from competent authorities in all countries of the world any and all Letters Patent by attorneys and agents of ASSIGNEE's selection and the right to procure the grant of all such Letters Patent to ASSIGNEE for its own name as assignee of the entire right, title and interest therein;

AND, we hereby further agree for ourselves and our executors and administrators to execute upon request any other lawful documents and likewise to perform any other lawful acts which may be deemed necessary to secure fully the aforesaid invention to said ASSIGNEE, its successors, assigns and legal representatives, but at its or their expense and charges, including the execution of applications for patents in foreign countries, and the execution of substitution, reissue, divisional or continuation applications and preliminary or other statements and the giving of testimony in any interference or other proceeding in which said invention or any application or patent directed thereto may be involved;

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-2-

AND, we do hereby authorize and request the Commissioner of Patents of the United States to issue such Letters Patent as shall be granted upon said application or applications based thereon to said ASSIGNEE, its successors, assigns, and legal representatives.

IN TESTIMONY WHEREOF, we have hereunto set our hands and affixed our seals the date set forth below.

Inventor's Signature: \_\_\_\_\_

  
Lijun Wu

State/Commonwealth \_\_\_\_\_

of \_\_\_\_\_

County of \_\_\_\_\_

Then personally appeared before me the above-named Lijun Wu and acknowledged that she executed the foregoing instrument as her free act and deed this 2<sup>nd</sup> day of July, 2002.

(SEAL)

  
Notary Public

(print name)

My Commission expires \_\_\_\_/\_\_\_\_/\_\_\_\_

DANIELLE JEANNETTE COMEAU  
Notary Public  
Commonwealth of Massachusetts  
My Commission Expires Oct 21, 2005

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MAY 20 2010

-3-

Inventor's Signature: \_\_\_\_\_  
Nancy Ruffing

State/Commonwealth \_\_\_\_\_  
of \_\_\_\_\_  
County of \_\_\_\_\_

Then personally appeared before me the above-named Nancy Ruffing and acknowledged that she executed the foregoing instrument as her free act and deed this \_\_\_\_\_ day of \_\_\_\_\_, 2002.

(SEAL) \_\_\_\_\_ Notary Public  
\_\_\_\_\_  
(print name)  
My Commission expires \_\_\_\_/\_\_\_\_/\_\_\_\_

Inventor \_\_\_\_\_ Date \_\_\_\_\_  
David P. Andrew  
Address 1 Bowling Green  
Stevenage Herts SG12NY United Kingdom

Witness \_\_\_\_\_  
Address \_\_\_\_\_  
\_\_\_\_\_

Witness \_\_\_\_\_  
Address \_\_\_\_\_  
\_\_\_\_\_

:ODMA\HODMA\Manage;308661;1

MAY 20 2010

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☐ was patented under U.S. Patent No. ☐ on ☐.

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NOW, THEREFORE, to all whom it may concern be it known that for and in consideration of said agreements and of other good and valuable consideration, the receipt of which is hereby acknowledged, we have sold, assigned and transferred and by these presents do hereby sell, assign and transfer unto said ASSIGNEE, its successors, assigns and legal representatives, the entire right, title and interest in and throughout the United States of America, its territories and all foreign countries, in and to said invention as described in said application, together with the entire right, title and interest in and to said application and such Letters Patent as may issue thereon; said invention, application and Letters Patent to be held and enjoyed by said ASSIGNEE for its own use and behalf and for its successors, assigns and legal representatives, to the full end of the term for which said Letters Patent may be granted as fully and entirely as the same would have been held by us had this assignment and sale not been made; we hereby convey all rights arising under or pursuant to any and all international agreements, treaties or laws relating to the protection of industrial property by filing any such applications for Letters Patent. We hereby acknowledge that this assignment, being of the entire right, title and interest in and to said invention, carries with it the right in ASSIGNEE to apply for and obtain from competent authorities in all countries of the world any and all Letters Patent by attorneys and agents of ASSIGNEE's selection and the right to procure the grant of all such Letters Patent to ASSIGNEE for its own name as assignee of the entire right, title and interest therein;

AND, we hereby further agree for ourselves and our executors and administrators to execute upon request any other lawful documents and likewise to perform any other lawful acts which may be deemed necessary to secure fully the aforesaid invention to said ASSIGNEE, its successors, assigns and legal representatives, but at its or their expense and charges, including the execution of applications for patents in foreign countries, and the execution of substitution, reissue, divisional or continuation applications and preliminary or other statements and the giving of testimony in any interference or other proceeding in which said invention or any application or patent directed thereto may be involved;



-2-

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IN TESTIMONY WHEREOF, we have hereunto set our hands and affixed our seals the date set forth below.

Inventor's Signature: \_\_\_\_\_

**Lijun Wu**

State/Commonwealth \_\_\_\_\_

of \_\_\_\_\_

County of \_\_\_\_\_

Then personally appeared before me the above-named **Lijun Wu** and acknowledged that she executed the foregoing instrument as her free act and deed this \_\_\_\_\_ day of \_\_\_\_\_, 2002.

(SEAL)

\_\_\_\_\_  
Notary Public

\_\_\_\_\_  
(print name)

My Commission expires \_\_\_\_/\_\_\_\_/\_\_\_\_

MAY 20 2010

-3-

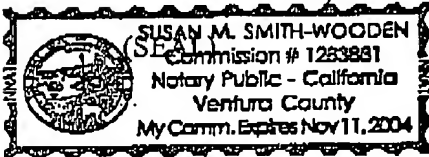
Inventor's Signature: \_\_\_\_\_

Nancy Ruffing Graham

State/Commonwealth \_\_\_\_\_

of CaliforniaCounty of Ventura

Then personally appeared before me the above-named **Nancy Ruffing** and acknowledged that she executed the foregoing instrument as her free act and deed this 15 day of July, 2002.

\_\_\_\_\_  
Notary Public

Susan M Smith-Wooden (print name)

My Commission expires 11/11/2004

Inventor \_\_\_\_\_ Date \_\_\_\_\_

David P. Andrew

Address 1 Bowling GreenStevenage Herts SG12NY United Kingdom

Witness \_\_\_\_\_

Address \_\_\_\_\_

Witness \_\_\_\_\_

Address \_\_\_\_\_

MAY 20 2010

Docket No. 1855.1063-010JointASSIGNMENT

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☒ was filed on **January 18, 2002** as Application No. 10/055,789;

☐ was patented under U.S. Patent No. ☐ on ☐.

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AND, we hereby further agree for ourselves and our executors and administrators to execute upon request any other lawful documents and likewise to perform any other lawful acts which may be deemed necessary to secure fully the aforesaid invention to said ASSIGNEE, its successors, assigns and legal representatives, but at its or their expense and charges, including the execution of applications for patents in foreign countries, and the execution of substitution, reissue, divisional or continuation applications and preliminary or other statements and the giving of testimony in any interference or other proceeding in which said invention or any application or patent directed thereto may be involved;

-2-

AND, we do hereby authorize and request the Commissioner of Patents of the United States to issue such Letters Patent as shall be granted upon said application or applications based thereon to said ASSIGNEE, its successors, assigns, and legal representatives.

IN TESTIMONY WHEREOF, we have hereunto set our hands and affixed our seals the date set forth below.

---

Inventor's Signature: \_\_\_\_\_

**Lijun Wu**

State/Commonwealth \_\_\_\_\_

of \_\_\_\_\_

County of \_\_\_\_\_

Then personally appeared before me the above-named **Lijun Wu** and acknowledged that she executed the foregoing instrument as her free act and deed this \_\_\_\_\_ day of \_\_\_\_\_, 2002.

(SEAL)

\_\_\_\_\_  
Notary Public

\_\_\_\_\_  
(print name)

My Commission expires \_\_\_\_/\_\_\_\_/\_\_\_\_

---

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-3-

Inventor's Signature: \_\_\_\_\_

Nancy Ruffing

State/Commonwealth

of \_\_\_\_\_

County of \_\_\_\_\_

Then personally appeared before me the above-named **Nancy Ruffing** and acknowledged that she executed the foregoing instrument as her free act and deed this \_\_\_\_\_ day of \_\_\_\_\_, 2002.

(SEAL)

\_\_\_\_\_  
Notary Public

(print name)

My Commission expires \_\_\_\_/\_\_\_\_/\_\_\_\_

Inventor

D. P. Andrew

Date

July 14 2002

David P. Andrew

Address

1 Bowling GreenStevenage Herts SG12NY United Kingdom

Witness

A. N. Andrews

Address

38, Turnberry WayCarlisle CA3 0QL

Witness

R. Andrews

Address

38 Turnberry WayCarlisle CA3 0QL